

SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

Note: Effective January 1, 2008, the Office of Information Security (Office) restructured and renumbered the content and moved SAM Sections 4840 – 4845 to SAM Sections 5300 – 5399. See also the Office's Government Online Responsible Information Management (GO RIM) Web site at www.infosecurity.ca.gov for statewide authority, standards, guidance, forms, and tools for information security activities.

CHAPTER 4800 INDEX

Transferred ownership and content to SAM Section 5300 et seq.
SECURITY AND RISK MANAGEMENT POLICY from SAM Section 4840.
AGENCY RESPONSIBILITIES from SAM Section 4841.
RISK MANAGEMENT from SAM Section 4842.
DISASTER RECOVERY PLANNING from SAM Section 4843.
AGENCY INFORMATION SECURITY REPORTING REQUIREMENTS
from SAM Section 4845.

Transferred the following SAM Sections:
ACCESS TO INFORMATION BY THE OFFICE OF THE LEGISLATIVE ANALYST
from SAM Section 4841.8 to SAM Section 4804.
ACCESS TO INFORMATION BY THE CALIFORNIA STATE AUDITOR
from SAM Section 4841.9 to SAM Section 4806.

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**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

STATE INFORMATION MANAGEMENT PRINCIPLES

4800

(Revised 03/11)

The California Technology Agency (Technology Agency) has broad responsibility and authority to guide the application of information technology (IT) in California State Government. The Technology Agency's areas of responsibility include policy making, interagency coordination, IT budget and procurement review, technical assistance, and advocacy. In view of the scope of these activities and their potential impact on state government, the Technology Agency has articulated the fundamental principles, policies, and procedures to govern the use of information technology in Sections 4800 through 5180 of the State Administrative Manual (SAM).

Note that any and all project approvals or conditions made by the Technology Agency's predecessor organizations, the Office of the State Chief Information Officer (OCIO) prior to January 1, 2011, or the Department of Finance (Finance) prior to January 1, 2011, remain in effect unless otherwise notified.

Priority of Information Technology.

Information technology is an indispensable tool of modern government. Accordingly, each state agency is expected to seek opportunities to use this technology to increase the quality of the services it provides and reduce the overall cost of government.

Authority and Responsibility.

Each agency director should be knowledgeable about the information requirements and information management practices of the agency and should provide active leadership in the exploration of new opportunities to use information technology. Each agency should establish clear lines of authority and responsibility for information management.

Management of Information.

Each agency shall establish and maintain an information management function consistent with its own operational needs and organizational structure. This function shall serve to ensure the agency's ability to identify the information it collects, maintain the integrity and security of the information, and provide for appropriate access to the information.

Management Methods.

Each state agency shall employ proven management methodologies to guide and control the planning, acquisition, development, operation, maintenance, and evaluation of information management applications. Pilot projects and/or independent oversight shall be required for larger, more complex applications.

Basis for Decisions.

Decisions regarding the application of information technology shall be based on analysis of overall costs and benefits to the people of California over the life of the application. Each agency shall plan far enough into the future to ensure that adequate time is available for analysis of alternatives, for obtaining necessary management approvals, and for the administration of procurements. Agencies shall determine the impact of their decisions across departmental and agency lines and give priority to alternatives that provide the greatest benefit from a statewide perspective.

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STATE INFORMATION MANAGEMENT PRINCIPLES
(Revised 03/11)

4800 (Cont. 1)

Record of Decisions.

Each agency shall maintain records of management decisions concerning the use of information technology. These records must be sufficiently detailed to satisfy the requirements of oversight agencies as well as internal management. The records must address such topics as:

1. Identification of information technology needs;
2. Setting of priorities for applications of information technology;
3. Evaluation of application alternatives;
4. Project management and control;
5. Contingency planning and risk management; and,
6. Operational controls and maintenance provisions.

Agency Personnel.

Agency managerial, technical, and user personnel should possess the knowledge and skills necessary to use information technology to the best advantage for the state. Each agency should regularly assess the information technology skills and knowledge of its personnel in relation to job requirements, identify and document training needs, and provide suitable training within the limits of available resources.

Compatibility.

In selecting or developing applications of information technology, each agency shall consider the benefits and costs of maintaining compatibility with other planned and existing applications within the agency and in other state agencies. Such consideration of compatibility shall include computer languages, applications and system software, computer hardware and telecommunications equipment, data formats, and the specific knowledge and skills required of state personnel.

Procurement.

In acquiring equipment, software, and services involving information technology, agencies shall seek maximum economic advantage to the state. Procurements shall normally be competitive, in conformance with the applicable sections of the Public Contract Code and SAM. Agencies shall use master contracts whenever the functional requirements for which the contract was awarded are substantially the same as the agency's requirements.

Cost Allocation.

Each agency shall adopt policies and establish procedures for assignment of costs associated with information technology by program or operational unit within the agency, as well as for the assignment and recovery of the costs of services provided to other agencies, private individuals, and organizations.

Risk Management.

Each state agency shall adopt and maintain a risk management program for the purpose of identifying and avoiding or minimizing threats to the security of information it maintains and the operational integrity of its information systems, telecommunications systems, and data bases.

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STATE INFORMATION MANAGEMENT PRINCIPLES

(Revised 03/11)

4800 (Cont. 2)

Documentation.

Applications of information technology shall be fully documented with respect to the needs of (1) non-technical users; (2) technical personnel; (3) agency measurement; and (4) outside auditors. The adequacy of documentation shall be an evaluation criterion in all procurements involving information technology (equipment, software, services and telecommunications facilities). Project plans shall include specific provision for the creation of suitable documentation.

Provision for Emergencies.

In planning for the use of automated information systems and telecommunications facilities, agencies shall develop policies and procedures to be followed in times of emergency; when systems are preempted to preserve the public health, welfare or safety; and when other events occur which prevent reliance on automated systems for extended periods of time.

Individual Rights.

Information management policies and procedures shall be consistent with the California Constitution, the Public Records Act, the Information Practices Act, and other applicable laws. Each state agency shall safeguard the right to privacy of individuals who are the subjects of the records it maintains.

Ethics.

In the conduct of their operations and in the accomplishment of the policies stated above, state agencies and their employees shall employ information technology in a legal and ethical manner consistent with government statutes, rules and regulations. Information technology shall not be used for purposes that are unrelated to the agency's mission or that violate state or federal law. Contract provisions, including software licensing agreements, shall be strictly followed.

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ACCESS TO INFORMATION BY THE OFFICE OF THE LEGISLATIVE ANALYST

4804

(Reviewed 03/11)

Section 11734 (f) of the Government Code requires that procedures be published in SAM to allow the Legislative Analyst to use data in, or products of, state data processing information systems to analyze programs and budgets.

In order to enable the Legislature to determine the fiscal or program effects of changes (1) proposed by the Administration or (2) considered by the Legislature, any state department operating an automated information system shall, upon receiving a written request, allow the Legislative Analyst reasonable access to any relevant data contained in the system's master files, transaction files, history files and/or other appropriate automated files.

However, such access shall not be provided to information: (1) specifically prohibited by Federal law or (2) relating to proposed administrative actions (such as Budget Change Proposals submitted by individual state entities) not yet approved by the Administration.

It is the responsibility of the department to whom the information pertains to ensure that any data made available under these provisions are as accurate and up-to-date as is consistent with the department's normal use of data.

The Legislative Analyst must agree that any confidential information obtained under these provisions shall remain confidential.

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ACCESS TO INFORMATION BY THE CALIFORNIA STATE AUDITOR

4806

(Reviewed 03/11)

Section 11734 (f) of the Government Code requires that procedures be published in SAM to allow the Auditor General in the conduct of his audit to use data in, or products of, state data processing information systems. Section 10527 of the Government Code provides that the Auditor General shall have access to, and authority to examine, records of any state agency. Section 10528 of the Government Code provides that the Auditor General shall examine and report annually upon the financial statements of the state and make special audits and investigations, including performance audits, of any state agency.

In order for the Auditor General to conduct these audits in an expeditious manner, any department operating a statewide information system shall, upon receiving a written request, allow the Auditor General "read only" access to any relevant data contained in the system's master files, transaction files, history files and/or other appropriate automated files.

The department operating the information system is authorized to require the Auditor General to reimburse it for any additional costs incurred as a direct result of the Auditor General's acquisition of data from the system.

It is the Auditor General's responsibility to check with the individual state entities to whom the information pertains to ensure that any data acquired under these provisions are accurate and up-to-date.

Any confidential information obtained by the Auditor General under these provisions shall remain confidential.

Statutory Provisions and Application

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(California Technology Agency)

STATUTORY PROVISIONS

4810

(Revised 03/11)

The following provisions apply to all state departments, offices, boards, commissions, institutions, and special organizational entities except the State Compensation Insurance Fund, the Legislature, or the Legislative Data Center in the Legislative Counsel Bureau.

California Technology Agency:

Pursuant to Government Code Sections 11545 and 11546, the Secretary of California Technology is charged with the duty to advise the Governor on the strategic management and direction of the state's information technology resources. In addition to this advisory role, the Technology Agency is responsible for: establishing, maintaining, and enforcing the State's IT strategic plans, policies, standards procedures, and enterprise architecture; approval and oversight of IT projects; consulting with agencies during initial project planning; and suspending, reinstating, or terminating IT projects.

Department of Finance:

Pursuant to Government Code Section 11547, the Department of Finance shall perform fiscal oversight of the state's information technology projects. The oversight shall consist of a determination of the availability of project funding from appropriate sources and project consistency with state fiscal policy.

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**AGENCY INFORMATION OFFICER AND DEPARTMENT CHIEF INFORMATION
OFFICER RESPONSIBILITIES**
(Revised 03/11)

4815

Within the authority of Government Code (GC) Section 11545 and 11546, the Secretary of California Technology shall be responsible for providing technology direction to Agency Chief Information Officers (AIO) and department Chief Information Officers (CIOs) to:

1. Integrate statewide technology initiatives,
2. Ensure Agencies and departments are in compliance with information technology and security policies and standards, and
3. Promote the alignment and effective management of information technology resources.

Agency Information Officers

All Agency Information Officers (AIOs) are responsible for overseeing the management of IT assets, projects, data systems, infrastructure, services and telecommunications through the oversight and management of department CIOs. Each AIO is responsible for developing an Agency Enterprise Architecture to rationalize, standardize and consolidate IT infrastructure, data, and procedures for all departments within their Agency.

Specific responsibilities for the AIOs are published in Information Technology Policy Letters or the Statewide Information Management Manual (SIMM) for new policies and initiatives. Each AIO must be compliant with the responsibilities as described in SAM, SIMM, and IT Policy Letters.

Department Chief Information Officers

Department CIOs are directly responsible for all IT activities within the department. CIOs are responsible for all IT systems, assets, projects, purchases, and contracts and will ensure departmental conformity with the Agency Enterprise Architecture. Department CIOs are also responsible for:

- Portfolio management of the department's technology initiatives.
- Operational oversight of IT functions, personnel and operations including:
 - Web application development;
 - Application and database management;
 - Security administration;
 - Telecommunications, including Public Safety Communications;
 - Project planning, consulting, and management; and
 - Help desk and customer service management.

Agency and department CIOs must be in compliance with state IT policies and procedures as described in SAM, SIMM and IT Policy Letters.

Non-Affiliated Chief Information Officers

With the exception of the responsibilities related to the oversight of Agency-affiliated department CIOs, non-affiliated department CIOs have the same responsibilities as AIOs. In addition, non-affiliated department CIOs also have the same responsibilities as Agency-affiliated department CIOs.

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(Continued)

**AGENCY INFORMATION OFFICER AND DEPARTMENT CHIEF INFORMATION
OFFICER RESPONSIBILITIES**

4815 (Cont. 2)

Reporting

Agency and Department CIOs are accountable to the Secretary of California Technology with respect to technology direction, including, but not limited to, IT policy, planning and management.

All state employees in information technology classifications, and all other state employees or contractors performing IT activities and/or functions must be in a direct reporting relationship to the appropriate Agency or department CIO.

Consistent with the federated governance model, the Technology Agency will work with the Agencies and departments to implement this operating model in a way that aligns with their business operations.

SAM – INFORMATION TECHNOLOGY
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GENERAL
(Revised 09/02)

4819

The SAM Section 4819 provides definitions and summarizes the compliance requirements for the administration of information technology in state government. Additional detail regarding specific requirements, policies or procedures is provided throughout SAM Sections 4800–5953, SAM Sections 6700 – 6780, and the State Information Management Manual (SIMM).

**SAM – INFORMATION TECHNOLOGY
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DEFINITIONS
(Revised 12/12)

4819.2

The following definitions of administrative and technical terms are provided to assist agencies in their application of information technology policy.

The primary source for technical definitions is the Information Processing Systems Technical Report, American National Dictionary for Information Processing Systems, developed by the American National Standards Committee, X3 Information Processing Systems. In some cases the definitions have been modified to meet state needs.

Agency: When used lower case (agency), refers to any office, department, board, bureau, commission or other organizational entity within state government. When capitalized (Agency), the term refers to one of the state's super agencies such as the State and Consumer Services Agency or the Health and Human Services Agency.

Baseline(d): An approved time phased plan for project work against which project execution is compared to measure and manage cost and schedule performance.

A project must be baselined in accordance with the milestones in the approved FSR. A project may not be re-baselined unless an approved SPR is available.

California Project Management Methodology. The California Project Management Methodology (CA-PMM) is a customized, orchestrated project management workflow derived from the Project Management Institute's process groups. The CA-PMM identifies 500 hours of effort to be the threshold for requiring CA-PMM project management disciplines. While smaller endeavors are not subject to the CA-PMM, they should still be planned and managed effectively.

Cloud Computing: A Model for enabling ubiquitous, convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction.

Confidential Information: Information maintained by state agencies that is exempt from disclosure under the provisions of the California Public Records Act (Government Code Sections 6250-6265) or other applicable state or federal laws. See SAM Section 5320.5.

Continuing Costs: Costs associated with the operation and maintenance of an information technology system or application after development and implementation of the system.

Critical Application: An application that is so important to the state that the loss or unavailability of the application is unacceptable. With a critical application, even short-term unavailability of the information provided by the application would have a significant negative impact on the health and safety of the public or state workers; on the fiscal or legal integrity of state operations; or on the continuation of essential agency programs.

Data: A representation of facts, concepts, or instructions in a formalized manner suitable for communication, interpretation, or processing by humans or by automated means.

Data Processing: The systematic performance of operations upon data, e.g., handling, merging, sorting, computing. Synonymous with information processing.

Data Processing System: A system, including computer systems and associated personnel, that performs input, processing storage, output, and control functions to accomplish a sequence of operations on data.

Data/Information Storage: The retaining of data/information on any of a variety of mediums (i.e., magnetic disk, optical disk, or magnetic tape) from which the data can be retrieved.

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SAM – INFORMATION TECHNOLOGY
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(Continued)

DEFINITIONS

4819.2 (Cont. 1)

(Revised 12/12)

Data Transmission: The conveying of data from one functional unit to one or more additional functional units through the transmission of signals by wire, radio, light beam, or any other electromagnetic means. (Voice or video transmissions are not considered data transmission for the purposes of state policy.)

Development: Activities or costs associated with the analysis, design, programming, staff training, data conversion, acquisition, and implementation of new information technology applications.

Electronic and Information Technology (EIT or E&IT): Includes information technology and any equipment or interconnected system or subsystem of equipment that is used in the creation, conversion, or duplication of data or information. The term electronic and information technology includes, but is not limited to, telecommunications products (such as telephones), information Kiosks and transaction machines, World Wide Web sites, multimedia, and office equipment such as copiers and fax machines.

Emergency: A sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services". SAM Section 6560 specifies that emergency expenditures cannot exceed \$25,000, unless approved by the Department of Finance.

Federated Data Center: A centralized Tier III-equivalent data center providing participating state departments the ability to operate their own environment with a degree of independence in the overall management of their server infrastructure. Federated Data Center (FDC) services will evolve to provide, at a minimum, shared network, storage, and backup infrastructures. Additionally, agencies can plan utilization of the FDC as a disaster recovery site.

Hardware: See IT equipment.

Information Processing: The systematic performance of operations upon data, e.g., handling, merging, sorting, computing. Synonymous with data processing.

Information Technology: Information technology means all computerized and auxiliary automated information handling, including systems design and analysis, conversion of data, computer programming, information storage and retrieval, voice, video, data communications, requisite systems controls, and simulation. The term "information technology" is commonly abbreviated as "IT".

Information Technology Activities: Any activity listed below, or any combination of these activities for a single information technology project, is to be considered an "information technology activity."

1. IT facility preparation, operation and maintenance.
2. Information management planning.
3. Feasibility determination, development and implementation of application systems or programs, or changes to application systems or programs to meet new or modified needs, or maintenance, including: feasibility study preparation, systems analysis, systems design, purchase and installation of software, programming, conversion of data or programs, documentation of systems and procedures, and project appraisal or assessment.

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DEFINITIONS

4819.2 (Cont. 2)

(Revised 12/12)

4. Operation of application systems or programs including handling, assembling, or editing of input-output data or media where information technology equipment or information technology personnel are used.
5. Services or equipment received through an EDP Master Agreement (SAM Section 5207.5).
6. Acquisition, installation, operation, and maintenance of data processing equipment.
7. Other installation management activities including performance measurement, system tuning, and capacity management.
8. Preparation and administration of requests for proposals or bid solicitations for contracts for any of the above activities.
9. Preparation of contracts, interagency agreements, and purchase estimates for any of the above activities.
10. Employment of personnel in support of, or directly related to, any of the above activities, including: administration, technical services, clerical services, travel, training, and preparation of periodic and special reports.
11. Control functions directly related to any of the above activities.

Information Technology Expenditure: The expenditure of funds regardless of source by any state entity for information technology activities, equipment, facilities, personnel, services, supplies and the automated processing of information.

Information Technology (IT) Project Oversight Framework: Minimum requirements for IT project management, risk management and IT project oversight activities for departments and agencies. Description of control agency project reporting requirements and processes for assessing department and agency project management and oversight activities. See SIMM Section 45.

Information Technology Procurement: Any contract, interagency agreement or purchase estimate to conduct any activity listed below, or any combination of these activities is to be considered an "information technology procurement."

1. IT facility preparation, operation and maintenance.
2. Development and implementation of application systems or programs, or changes to application systems or programs to meet new or modified needs, or maintenance, including: feasibility study preparation, systems analysis, systems design, purchase and installation of software, programming, conversion of data or programs, documentation of systems and procedures, and project appraisal or assessment.
3. Operation of application systems or programs including handling, assembling, or editing of input-output data or media where information technology equipment or information technology personnel are used.
4. Services or equipment received through an EDP Master Agreement. SAM Section 5207.

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**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

(Continued)

DEFINITIONS

4819.2 (Cont. 3)

(Revised 12/12)

5. Acquisition, installation, operation, and maintenance of data processing equipment.
6. Other installation management activities including performance measurement, system tuning, and capacity management.
7. Employment of personnel in support of, or directly related to, any of the above activities, including: administration, technical services, clerical services, travel, training, and preparation of periodic and special reports.
8. Control functions directly related to any of the above activities.

Information Technology Project: An endeavor with a defined beginning and end, undertaken to meet unique goals and objectives that encompasses computerized and auxiliary automated information handling, including systems design and analysis, conversion of data, computer programming, information storage and retrieval, data transmission, requisite system controls, simulation, and related interactions between people and machines.

Input-Output Unit/Device: A unit or device in an IT system by which data may be entered into the system, received from the system, or both.

IT Equipment: Information Technology devices used in the processing of data electronically. The following are examples of IT equipment:

1. Mainframes and all related features and peripheral units, including processor storage, console devices, channel devices, etc.;
2. Minicomputers, midrange computers, personal computers, laptop, tablets, smart phones and all peripheral units associated with such computers;
3. Special purpose systems including word processing, Optical Character Recognition (OCR), bar code readers/scanners, and photo composition;
4. Communication devices used for transmission of data such as: modems, data sets, multiplexors, concentrators, routers, switches, local area networks, private branch exchanges, network control equipment, or microwave or satellite communications systems; and
5. Input-output (peripheral) units (off-line or on-line) including: display screens, optical character readers, magnetic tape units, mass storage devices, printers, video display units, data entry devices, plotters, scanners, or any device used as a terminal to a computer and control units for these devices.

IT Personnel: All state personnel employed in IT or telecommunications classifications as defined by the Department of Personnel Administration or by the Trustees of the California State University and Colleges, and all personnel of other classifications in state agencies who perform information technology activities for at least 50 percent of their time. Users of personal computers and office automation are not included in this category unless they are in information technology classifications or spend at least 50 percent of their time performing information technology activities.

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(Continued)

DEFINITIONS

4819.2 (Cont. 4)

(Revised 12/12)

IT Supplies: All consumable items and necessities (excluding equipment defined as IT equipment) to support information technology activities and IT personnel, including:

1. Documents (such as standards and procedures manuals, vendor-supplied systems documentation, and educational or training manuals);
2. Equipment supplies (such as printer forms, punch card stock, disk packs, "floppy" disks, magnetic tape, and printer ribbons or cartridges); and
3. Furniture (such as terminal tables and printer stands).

Life Cycle: The anticipated length of time that the information technology system or application can be expected to be efficient, cost-effective and continue to meet the agency's programmatic requirements. Synonymous with operational life system.

Maintenance: Activities or costs associated with the ONGOING UPKEEP of operational applications of information technology. Maintenance includes correcting flaws, optimizing existing systems or applications, responding to minor changes in specified user requirements, renewal of equipment maintenance agreements, and meeting normal workload increases using substantially the same equipment, facilities, personnel, supplies and software.

Mobile Web: Mobile Web refers to browser-based access to the Internet or Web applications using a mobile device, such as a smart phone, connected to a wireless network.

Network Equipment: Equipment facilitating the use of a computer network. This includes routers, switches, hubs, gateways, access points, network bridges, modems, firewalls, and other related hardware and software.

One-Time Costs: Costs associated with the analysis, design, programming, staff training, data conversion, acquisition, and implementation of new information technology applications. See State Information Management Manual (SIMM) Section 20 (Economic Analysis Workbook Package).

Open Source Software: Software that includes distribution terms that comply with the following criteria provided by the Open Source Initiative: (The open source definition used here is from the Open Source Initiative and is licensed under a Creative Commons Attribution 2.5 License (<http://creativecommons.org/licenses/by/2.5/>))

1. Free Redistribution: The software can be given as part of a package with other applications;
2. Source Code: The code must either be distributed with the software or easily accessible;
3. Derived Works: The code can be altered and distributed by the new author under the same license conditions as the product on which it is based;
4. Integrity of the author's source code: Derived works must not interfere with the original author's intent or work;
5. No discrimination against persons or groups;
6. No discrimination against fields of endeavor: Distributed software cannot be restricted in who can use it based on their intent;
7. Distribution of license: The rights of the program must apply to all to whom the program is re-distributed without need for an additional license;
8. License must not be specific to a product; Meaning that an operating system product cannot be restricted to be free only if used with another specific product;

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DEFINITIONS

4819.2 (Cont. 5)

(Revised 12/12)

9. License must not contaminate other software; and
10. License must be technology-neutral.

Operational Life: See life cycle.

Operations: Activities or costs associated with the CONTINUED USE of applications of information technology. Operations includes personnel associated with computer operations, including network operations, job control, scheduling, key entry, and the costs of computer time or other resources for processing.

Peripheral Unit/Device: With respect to a particular processing unit or device, any equipment that can communicate directly with that unit or device.

Power Management: A feature of some electrical appliances, especially copiers, computers and computer peripherals such as monitors and printers, which turns off the power or switches the system to a low-power state when inactive.

Previously Approved Effort/Project: An information technology activity or project previously approved by the Technology Agency (or the Office of the State Chief Information Officer (OCIO) prior to January 1, 2011, or Finance prior to January 1, 2008) or the agency's executive officer in accordance with SAM Section 4819.3. Qualification of an activity as a previously approved effort requires an approved Feasibility Study Report (FSR) AND an approved Post-Implementation Evaluation Report. Applicable activities include meeting modified needs, improving the effectiveness of the activity, program or system maintenance, or extension of existing services to new or additional users performing essentially the same functions as those that the project was designed to support. A previously approved effort/project must use substantially the same equipment, facilities, technical personnel, supplies and software to meet substantially the same requirements or to meet normal workload increases. : (Note: "Substantially the same equipment" does not include the addition, upgrade or replacement of a central processing unit.)

Program: A sequence of instructions suitable for processing. See information processing or data processing.

Programming: The designing, writing, testing, debugging, and documentation of programs.

Project: An endeavor with a defined beginning and end (usually time-constrained, and often constrained by funding or deliverables), undertaken to meet unique goals and objectives, typically to bring about beneficial change or added value. (See information technology project.)

Project Oversight: An *independent* review and analysis to determine if the project is on track to be completed within the estimated schedule and cost, and will provide the functionality required by the sponsoring business entity. Project oversight identifies and quantifies any issues and risks affecting these project components.

Proprietary Software: Computer programs which are the legal property of one party, the use of which is made available to a second or more parties, usually under contract or licensing agreement.

Public Facing Applications: Any web-facing application designed and delivered with the intent of access by individuals or organizations over the public internet. Public facing applications are exposed to the broadest base of potential users (e. g. citizens), and are accessed via a web-browser.

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**SAM – INFORMATION TECHNOLOGY
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(Continued)

DEFINITIONS

4819.2 (Cont. 6)

(Revised 12/12)

Public Information: Any information prepared, owned, used or retained by a state agency and not specifically exempted from the disclosure requirements of the California Public Records Act (Government Code Sections 6250-6265) or other applicable state or federal laws.

Sensitive Information: Information maintained by state agencies that requires special precautions to protect it from unauthorized modification or deletion. See SAM Section 5320.5. Sensitive information may be either public or confidential (as defined above).

Server Room: Any space that houses computer operations. Such computer operations could utilize mainframes, servers, or any computer resource functioning as a server.

Shutdown: Turning the power off in a controlled manner.

Software: Programs, procedures, rules, and any associated documentation pertaining to the operation of a system. (Contrast with hardware.)

Statewide Information Management Manual (SIMM): The Statewide Information Management Manual (SIMM) as structured by the Technology Agency contains instructions and guidelines as well as samples, models, forms and communication documents that state agencies either must use, or will find helpful to use, in complying with established state policy relating to IT. For clarity, references in SIMM to "Department of Finance" that are not related to budget documents such as Budget Change Proposals or Finance Letters, should be read as references to the "California Technology Agency".

System Standby: A low power mode for electronic devices such as computers, televisions, and remote controlled devices (aka "sleep mode"). These modes save significant electrical consumption compared to leaving a device fully on and idle but allow the user to avoid having to reset programming codes or wait for a machine to reboot.

Technology Letter: Letters issued by the Technology Agency conveying official communications regarding state information technology (IT), announcing new (or changes to existing) IT policies and procedures, or announcing new (or changes to existing) state IT services or standards.

Telecommunications: Includes voice and data communications, the transmission or reception of signals, writing, sounds, or intelligence of any nature by wire, radio, light beam, or any other electromagnetic means.

Tier III-Equivalent Data Center: Data Center facility consisting of multiple active power and cooling distribution paths; however, only one path is active. The facility has redundant components and is concurrently maintainable providing 99.982% availability.

Validation: The process of evaluating software during or at the end of the development process to determine whether it satisfies specified requirements. [IEEE-STD-610]

Verification: The process of evaluating software to determine whether the products of a given development phase satisfy the conditions imposed at the start of that phase. [IEEE-STD-610]

(Continued)

SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

(Continued)

DEFINITIONS

4819.2 (Cont. 7)

(Revised 12/12)

Virtualization: A framework or methodology of dividing the resources of a computer into multiple execution environments, by applying one or more concepts or technologies such as hardware and software partitioning, time-sharing, partial or complete machine simulation, emulation, quality of service, and many others.

Workload Increase: Employing substantially the same resources (equipment, facilities, personnel, supplies, software) to process a greater volume of the same or similar information. The results of the processing are the same or similar outputs distributed to comparable users.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

STATE INFORMATION MANAGEMENT AUTHORITY AND RESPONSIBILITY

4819.3

(Revised 03/11)

Pursuant to Government Code Sections 11545 and 11546, the Secretary of California Technology is charged with the duty to advise the Governor on the strategic management and direction of the state's information technology resources. In addition to this advisory role, the Technology Agency is responsible for: establishing, maintaining, and enforcing the State's IT strategic plans, policies, standards procedures, and enterprise architecture; approval and oversight of IT projects; consulting with agencies during initial project planning; and suspending, reinstating, or terminating IT projects.

SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

BASIC POLICY

4819.31

(Revised 12/12)

Each state agency is required to:

1. Establish and maintain a Disaster Recovery Plan, so that it will be able to protect its information assets in the event of a disaster or serious disruption to its operations, and submit the plan or its update to the Office of Information Security (OIS) as outlined in the Disaster Recovery Plan Quarterly Reporting Schedule (SIMM Section 05). See SAM Sections 5350-5355.
2. Establish an ongoing information management strategic planning process to support the accomplishment of its overall business strategy (i.e., its strategy to carry out its programmatic mission) and submit its strategic plan to the Technology Agency for approval. See SAM Section 4900.2.
3. Adopt standards for an agency information technology infrastructure consistent with SAM Section 4900.1.
4. Prepare annually an IT Capital Plan for long-term planning of the state's strategic IT investments. See SAM Section 4904.
5. Use the California Project Management Methodology (CA-PMM) as described in SAM Section 4910 for managing all IT projects.
6. Implement their Enterprise Architecture in accordance with the guidelines and instructions included in SIMM Section 58.
7. Conduct a feasibility study in order to establish the business case for each proposed information technology project (development or acquisition) and obtain approval of the FSR from the Technology Agency, or, if approval authority has been delegated to the agency director, from the agency director before expending any resources on the project. See SAM Sections 4819.34-4819.35.
8. Submit all Formal IT Solicitations, (as defined in the State Contracting Manual (SCM), Volume 3, Chapter 4, Section B1.0) to the Technology Agency for review prior to release to the public. Review of Informal IT Solicitations is delegated to departments. The following materials shall be included with the Formal IT Solicitation package:
 - a. A completed and signed *Formal Information Technology Solicitation Executive Approval Transmittal*, which is available in SIMM Section 28A.
 - b. All sections, appendices, attachments and exhibits comprising the Formal IT Solicitation.
 - c. The Information Technology Procurement Plan prepared in accordance with Volume 3, Chapter 2, Section B3 of the SCM and approved by the DGS or, for Formal IT Solicitations delegated by the DGS in accordance with SAM section 5200.5, approved by the department.

Review of Formal IT Solicitations is in addition to existing IT-related reporting and approval requirements. The instructions and time frame for submitting Formal IT Solicitations to the Technology Agency for review is specified in SIMM Section 05A.

For addenda focusing on Technical or Functional Requirements within the solicitation that are specific to the California IT Strategic Plan, alignment with the Statewide Enterprise Architecture, or alignment with IT reporting and approval requirements, the Technology Agency will collaborate with the DGS Procurement Division (PD), for DGS-Administered Procurements, and with the issuing department, for delegated procurements, prior to release. All other addenda will be reviewed by the DGS PD or the issuing department, as appropriate. The time frame for submitting addenda will be determined in collaboration with the Technology Agency and the DGS PD or with the issuing department as appropriate.

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SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

(Continued)

BASIC POLICY

(Revised 12/12)

4819.31 (Cont. 1)

Departments shall not be relieved of responsibility for major scope deviations within the Formal IT Solicitations or addenda reviewed by the Technology Agency unless:

- a. The department has specifically informed the Technology Agency-Program Management Office (PMO) in writing of such major scope deviations at the time of submittal; and
 - b. Technology Agency-OTech has given written approval of the specific deviation.
9. Manage information technology projects following the established IT Project Oversight Framework (SIMM Section 45) minimum requirements, to ensure that projects are completed on-time, within budget, and that they accomplish the objectives defined in their FSRs. See SAM Section 4800.
 10. Protect the integrity of its information management capabilities and databases and ensure the security and confidentiality of information it maintains.
 11. Establish an acquisition planning process for IT project acquisition of IT goods and services as determined by the Department of General Services.
 12. Agencies shall implement power management practices on all desktop and laptop computing devices, thin client devices, printers, copiers, scanners, and monitors. During hours of normal operation, devices which are not in use for 30 minutes shall automatically go into an energy-saving mode. Devices shall be shutdown at the end of the normal business day.

In addition, agencies shall fully implement power management software for desktop and laptop devices by December 31, 2010, or six months after the 2010-11 Budget has been enacted, whichever is later. Agencies shall also implement standby and shutdown practices for all devices within the scope of this policy beginning December 31, 2010.

Exemptions must be approved in writing by the Agency Chief Information Officer (Agency CIO) or the department's Chief Information Officer (CIO). Exemptions are limited to:

- Devices which must remain in active mode to meet State operational needs. An example of a valid exemption would be a desktop computer and monitor utilized to manage batch programs 24 hours per day, seven days per week.
- Facilities with electrical service bundled-in with facility lease contracts where state entities would not likely receive offsetting benefits from acquired power management software. In this instance, compliance can be achieved through the use of standard operating systems functionality (e.g., Windows).

If an agency fails to meet these requirements, the agency will be required to obtain Technology Agency approval before expending any resources on information technology projects.

The project approval process is described in SAM Section 4819.34

SAM – INFORMATION TECHNOLOGY
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EXCLUSIONS
(Revised 12/12)

4819.32

For purposes of IT Project Submittal and Approval, the following are excluded from State Administrative Manual (SAM) Section 4819.3, which defines State information management authority and responsibility for IT projects:

1. The SAM Section 4819.3 shall apply to all State departments, offices, boards, commissions, institutions, and special organizational entities except the State Compensation Insurance Fund, the Legislature, or the Legislative Data Center in the Legislative Counsel Bureau.
2. Information technology activities directly associated with single-function process-control systems (such as those applied in the controlling of water gates, traffic signals, or environmental systems for buildings), analog data collection devices, or telemetry systems are excluded from SAM Section 4819.3. Process Control, for the purposes of the exclusions from Technology Agency project approval and oversight, includes automated processing systems that monitor and control the operation of a single function system, and that can perform that control in isolation from other systems. Examples may include all components necessary to monitor and control the traffic lights at an intersection, the position of water restriction and diversion components in a water supply and distribution system, or to adjust the behavior of a motorized conveyer in response to changes in load and demand.

Sensors, telemetry devices, alarm and physical entry controls, functional components such as motors or traffic lights, electronic control processors, and the network system that connects those devices into a single-function process control system meet the process control system exclusion.

Process control should not be interpreted to include information processing and network systems in which data is gathered, stored, transmitted, processed, analyzed, displayed, printed or reported for purposes other than the direct, automatic monitoring and controlling of a single function system, or for the manual review of the performance and activities of that single system.

Any component that may be added to any process control system, such as additional sensors, processing capacity or network communications capability, that is necessary for use in conjunction with a current or planned information technology system must be included in all feasibility study reports, plans, proposals and budget estimates for the information technology system.

3. Projects, activities, or acquisition of telecommunications equipment used exclusively for voice communications. Any project where approval and initiation is within the jurisdiction of the Public Safety Communications Office, per California Government Code Section 15275-15277, such as public safety telecommunications including microwave, satellite, 911, telematics, and radio/rf.
4. Installations of Voice Over Internet Protocol (VOIP) phone systems that are stand alone and do not interface with other systems on the network.
5. Acquisition of printers, scanners, and copiers. If any of these components are part of a planned information technology system they must be included in all feasibility study reports, plans, proposals and budget estimates for the information technology system.

Questions regarding exclusions should be directed to your Technology Agency Program Management Office (PMO) Principal or Manager.

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SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

PROJECT APPROVAL AUTHORITY
(Revised 03/11)

4819.34

Authority for approval of information technology projects lies with the Technology Agency, but it is the intention of the State's Chief Information Officer to delegate approval authority to agency directors to the maximum extent practicable. When an agency's proposed expenditures on information technology are consistent with established policies and when the agency has consistently adhered to those policies and successfully implemented information technology projects, the Technology Agency will consider delegating authority for the approval of resources to agency directors, as defined below.

The Technology Agency will establish an agency-specific cost delegation level, i.e., the project cost level above which the agency must obtain the Technology Agency's approval of an FSR or Feasibility Study Report - Reporting Exemption Request (FSR-RER) (see SAM Section 4819.37) before the agency is authorized to initiate the project.

The Technology Agency's delegations fall into one of three general groups:

Group 1 – Desktop and Mobile Computing Delegations – Agencies that have established and currently maintain an acceptable Operational Recovery Plan and plan for the appropriate application of desktop and mobile computing will be delegated authority for the acquisition of equipment and software to support their desktop and mobile computing activities. See SAM Section 4989.2.

Group 2 – Agency Delegation for Non-Reportable Projects – Approval authority for projects which are not classified as reportable is delegated to the agency director. Agencies undertaking delegated projects are expected to employ appropriate project review, approval, and reporting procedures as specified in SAM Sections 4819.35 and 4819.36. See SAM Sections 4819.37 and 4819.39 for a list of reportable project criteria and a definition of delegated cost threshold.

Group 3 - Requested Delegation for Reportable Projects – An agency with an acceptable Disaster Recovery Plan and an Agency Information Management Strategy that has been approved by the Technology Agency may submit a Feasibility Study Report - Reporting Exemption Request (see SAM Section 4819.38) to the Technology Agency prior to the encumbrance or expenditure of funds, including the use of staff resources, on the project beyond the feasibility study stage. The Technology Agency will review the form and notify the agency whether it has been delegated approval authority for the proposed project. If delegation is not granted, the agency must submit the project FSR to the Technology Agency for approval.

1. Among the factors considered by the Technology Agency in determining whether a project should be delegated are:
 - a. The apparent adequacy of the agency's planning process;
 - b. The cost, scope, and complexity of the project;
 - c. The size and composition of project staff;
 - d. The agency executive staff's project management experience;
 - e. The level of complexity and completeness of prior FSRs prepared by the agency;
 - f. The number and complexity of previous information technology projects attempted by the agency;
 - g. The demonstrated ability of agency project management staff to successfully monitor, control, and report progress during a complex undertaking; and
 - h. The agency's past success in applying information technology to attain goals on time and within budget and to realize expected objectives.

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SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

(Continued)

PROJECT APPROVAL AUTHORITY
(Revised 12/08)

4819.34 (Cont. 1)

Delegation of approval authority will NOT normally be given for projects which:

- a. Have significant statewide, interdepartmental, or intergovernmental impact;
 - b. Involve the establishment or use of nonstandard or extensive communication facilities;
 - c. Propose software or equipment acquisition expenditures that are large in relation to the agency's information technology budget;
 - d. Have the potential for involving new or unfamiliar technology;
 - e. Produce revenue for the state, such as licensing fees, tax collection, etc.;
 - f. Have a high potential risk associated with the security and confidentiality of the information being processed; or
 - g. Depend upon decisions to be made during the development or enactment of the Governor's Budget, such as approval of a Budget Change Proposal or Budget Revision.
2. Splitting a project into smaller projects to avoid either fiscal or procedural controls is prohibited.
 3. Agencies undertaking delegated projects are expected to employ appropriate project review, approval, and reporting procedures as specified in SAM Sections 4819.35 (Feasibility Study Report) and 4819.36 (Project Reporting/Oversight) below.
 4. All information technology projects are subject to audit. Documentation supporting project decisions must be kept by the agency for a minimum of two years following approval of the Post-Implementation Evaluation Report (PIER). See SAM Sections 4947-4947.2.
 5. The Technology Agency, at its discretion, may rescind previously delegated approval authority for individual projects or for all information technology activities in progress or proposed by an agency. The Technology Agency may require that project planning, design or implementation be halted or redirected.

The decision to rescind delegation will typically be based on review (audit) of the agency's information management practices; review of a specific project; redefinition of the project; significant increases in project cost projections; major cost overruns; specific control language placed on expenditures through legislation (i.e., the Budget Act); identification of significant unresolved technical issues; or a change in the direction of state policy.

SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

FEASIBILITY STUDY REPORT
(Revised 12/12)

4819.35

1. The mechanism for approving information technology projects is the Feasibility Study Report (FSR). The FSR establishes the business case for investment of state resources in the project by setting out the reasons for undertaking the project and analyzing its costs and benefits.
2. An FSR, prepared in accordance with SAM Section 4928, must be approved for every information technology project prior to the encumbrance or expenditure of funds on the project, including the use of staff resources, beyond the feasibility study stage. The only exception to this requirement is that the feasibility studies for projects whose costs fall below a specified level may be documented by means of a Project Summary Package (see SAM Section 4930 and SIMM Section 20). Agencies are required to follow the SIMM Section 20 instructions for preparing and submitting the FSR.
3. If, during project development or implementation, the agency finds that program requirements cannot be adequately satisfied by the course of action described in the approved FSR and that an alternative course of action is more appropriate, a Special Project Report (SPR) (SAM Sections 4945-4945.2 and SIMM Section 30) shall be prepared. No encumbrance or expenditure of funds, including the use of staff resources, shall be made to implement such change or alternative course of action until approval has been received from the Technology Agency, or from the agency director if the Technology Agency has delegated approval of the project to the director and the project remains within the limitations of the agency's delegated authority. SPRs that must be submitted to the Technology Agency must be transmitted within 30 days after recognition of the situation that necessitates preparation of the SPR. Agencies are required to follow the SIMM Section 30 instructions for preparing and submitting the SPR.
4. Projects subject to approval by the Technology Agency (non-delegated projects) require submission of an FSR to the Technology Agency and to the Office of the Legislative Analyst. In addition, the FSR must be submitted to the Department of General Services when the contract total exceeds the agency's delegated purchasing authority. See SIMM Section 20.
5. The DGS is responsible for policies and processes for IT procurement. The DGS Procurement Division (DGS-PD) will review the procurement planning information in the FSR, as applicable, to evaluate the proposed IT procurement strategy.
 - For projects reportable to the Technology Agency that contain a procurement, the cost of which exceeds the agency's DGS delegated purchasing authority, agencies must send a copy of the FSR to the DGS-PD to enable the evaluation of the proposed IT procurement strategy.
 - For delegated or non-reportable projects that contain a procurement, the cost of which exceeds the agency's DGS delegated purchasing authority, agencies must send a copy of sections 1-5 of non-reportable or delegated FSRs to the DGS-PD to enable the evaluation of the proposed IT procurement strategy.
6. Projects whose approval has been delegated to the agency director normally require an FSR prepared in accordance with SAM Section 4928 and approval of the FSR by the agency director (SAM Sections 4921 and 4926). A copy of the report, including the Project Summary Package, and a signed document indicating approval by the agency director must be on file in the agency.
7. The Technology Agency may decide to review specifications in procurement documents before they are advertised to ensure that the specifications are consistent with the functional specifications and system design in the FSR or SPR for the projects. See SAM Section 5211.1.

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PROJECT REPORTING/OVERSIGHT
(Revised 09/10)

4819.36

1. **Projects Approved by the Technology Agency**—Project reporting documentation submitted to the Technology Agency usually will require:
 - a. Submission of an SPR (SAM Sections 4945-4945.2) to the Technology Agency and the Office of the Legislative Analyst, if:
 - 1) The total information technology project costs deviate or are anticipated to deviate by ten percent (higher or lower) or more, or by more than a specifically designated amount as determined by the Technology Agency, from the last approved estimated information technology project budget (to be measured against the combined total of each fiscal year's One-time Project Costs plus Continuing Project Costs);
 - 2) The last approved overall project development schedule falls behind or is anticipated to fall behind by ten percent or more;
 - 3) The total program benefits deviate or are anticipated to deviate by ten percent (higher or lower) or more from the last approved estimated total program benefits (to be measured against the combined total of each fiscal year's Cost Savings and Cost Avoidances);
 - 4) A major change occurs in project requirements or methodology;
 - 5) Any conditions occur that require reporting to the Technology Agency as previously imposed by the Technology Agency; or
 - 6) A significant change in state policy draws into question the assumptions underlying the project.
 - b. Submission of the Independent Project Oversight Right (IPOR), (see SIMM Section 45, Appendix G), on a monthly basis for projects classified by the Technology Agency as high criticality projects and on a quarterly basis for projects classified as medium criticality. The Technology Agency may modify the IPOR reporting frequency based on project performance. The Technology Agency may also validate the content of the IPORs for reportable projects as needed.
 - c. Submission of a Project Status Report (PSR), (see SIMM Section 17A and 17D.2) on a monthly basis for projects classified by the Technology Agency as high criticality, quarterly for medium criticality, and semi-annually for low criticality projects unless the Technology Agency has specified a more frequent reporting period. Please see SIMM Section 05A for the PSR submittal schedule.
 - d. Submission of a baselined and current Microsoft Project schedule with the submission of each PSR.
 - e. Submission of a Post-Implementation Evaluation Report (PIER) (SAM Sections 4947-4947.2) to the Technology Agency and the Office of the Legislative Analyst at the conclusion of the project.
 - f. The Technology Agency **MAY** require submission of periodic project reports (SAM Section 4944) to the Technology Agency and the Office of the Legislative Analyst.

The Technology Agency may require agencies to submit an SPR under other circumstances, such as the agency's failure to meet a critical milestone or a significant increase in the project's cost in any fiscal year relative to the costs that were forecast when the project was approved by the Technology Agency. Additionally, the Technology Agency may require periodic reviews be conducted at any point during the project.

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SAM – INFORMATION TECHNOLOGY
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PROJECT REPORTING/OVERSIGHT

4819.36 (Cont. 1)

(Revised 03/11)

2. **Projects Approved by the Agency Director**—Projects for which reporting was delegated to the agency director require at a minimum:
- a. Appropriate project oversight and project reporting to the agency director in lieu of the Technology Agency, and maintenance of documentation in support of agency decisions on the project. Documentation should be sufficient to meet the needs of outside auditors and to prepare the PIER.
 - b. Approval of a PIER (SAM Sections 4947-4947.2) by the agency director at the conclusion of the project.
 - c. Submission of an SPR (SAM Sections 4945-4945.2) to the Technology Agency and the Office of the Legislative Analyst if:
 - 1) Any criteria listed in SAM Section 4819.37, other than the project's cost exceeding the level the Technology Agency may have delegated to the agency, arise during the development or implementation of the project;
 - 2) A significant change in state policy draws into question the assumptions underlying the project; or
 - 3) The project costs exceed or are estimated to exceed the cost level the Technology Agency may have delegated to the agency AND one or more of the following conditions are true:
 - a. The total information technology project costs deviate or are anticipated to deviate by ten percent (higher or lower) or more from the estimated information technology project budget (to be measured against the combined total of each fiscal year's One-time Costs plus Continuing Costs);
 - b. The overall project development schedule falls behind or is anticipated to fall behind by ten percent or more;
 - c. The total program benefits deviate or are anticipated to deviate by ten percent (higher or lower) or more from the estimated total program benefits (*to be measured against the combined total of each fiscal year's Cost Savings and Cost Avoidances*); or
 - d. A major change occurs in project requirements or methodology.

Based on its review of the Agency Information Management Strategy (see SAM Sections 4900-4900.6) and its assessment of the agency's project management capabilities, the Technology Agency **MAY** require one or more of the following additional project reporting/oversight responsibilities for projects subject to oversight by the agency director:

1. Submission of the FSR and/or approval document, signed by the agency director, to the Technology Agency and the Office of the Legislative Analyst.
2. Submission to the Technology Agency of a detailed project schedule showing key milestones during the life of the project;
3. Submission of periodic project reports (SAM Section 4944) or SPRs (SAM Sections 4945-4945.2) to the Technology Agency and the Office of the Legislative Analyst; or

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**SAM – INFORMATION TECHNOLOGY
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PROJECT REPORTING/OVERSIGHT

4819.36 (Cont. 2)

(Revised 03/11)

4. Submission of a PIER (SAM Sections 4947-4947.2) to the Technology Agency and the Office of the Legislative Analyst at the conclusion of the project.

Responsibilities and Tasks

California Technology Agency

1. The Technology Agency is responsible for developing and maintaining the state-level IT Project Oversight Framework (see SIMM Section 45), which provides the minimum requirements for IT project management, risk management, project oversight, and project reporting activities at the department, agency and control agency levels.
2. The Technology Agency is responsible for assessing department and agency IT project management and oversight activities to ensure compliance with state-level IT policies and standards. The Technology Agency will assess IT projects to determine the degree to which projects are on costs, schedule, and scope as compared to the approved project plan.
3. The Technology Agency will recommend and pursue prescriptive measures and corrective actions to minimize risk to the state and help ensure that IT projects achieve expected outcomes in accordance with the approved project plan.

Agencies

1. Agencies are responsible for developing IT strategic plans that are aligned with their business plans and ensuring that IT plans are updated as their business needs and requirements change.
2. Agencies have ultimate responsibility and accountability for the successful implementation of their IT initiatives and must implement processes and procedures to facilitate success, including appropriate project management and quality assurance processes and methodologies.
3. Agencies are responsible for establishing the required project management and oversight activities and functions defined in the IT Project Oversight Framework (see SIMM Section 45). Each agency must update its project management and oversight practices to reflect changes in State policy, processes, and the IT Project Oversight Framework.
4. Agencies are responsible for ensuring that projects consistently follow state-level IT oversight policies and requirements, legislative mandates, and applicable laws.
5. Agencies are responsible for providing project status information sufficient to allow the Technology Agency to meet its oversight reporting and full disclosure responsibilities.

SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

PROJECT REPORTING CRITERIA

4819.37

(Revised 03/11)

Before encumbering or expending funds on, or dedicating staff resources to, any of the following reportable projects, the agency must: (1) obtain the Technology Agency's approval of an FSR for the project; or (2) obtain the Technology Agency's approval of a Feasibility Study Report - Reporting Exemption Request (FSR-RER), with the subsequent approval of an FSR by the agency director:

1. Projects whose initiation depends upon decisions to be made during the development or enactment of the Governor's Budget, such as approval of a Budget Change Proposal or Budget Revision to increase the agency's existing information technology activities related to the project;
2. Projects that involve a new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation;
3. Projects that have a cost that exceeds the level the Technology Agency may have delegated to the agency and do not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM Section 4989 – 4989.3);
4. Projects that meet previously imposed conditions by the Technology Agency.

Agencies that seek exemption from project reporting to the Technology Agency for a project meeting any of the above criteria must submit an FSR-RER (see SAM Section 4819.38) to the Technology Agency. An agency with an acceptable Disaster Recovery Plan and an Agency Information Management Strategy that has been approved by the Technology Agency may submit an FSR-RER.

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(California Technology Agency)**

**PREPARING THE FEASIBILITY STUDY REPORT – REPORTING EXEMPTION
REQUEST**

4819.38

(Revised 06/04)

SIMM, Section 40 provides instructions for completing the Feasibility Study Report - Reporting Exemption Request (FSR-RER). Agencies are required to follow the SIMM instructions for preparing and submitting the FSR-RER.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

DELEGATED COST THRESHOLD

4819.39

(Revised 03/11)

The Technology Agency assigns each agency a minimum total project development cost threshold for reporting purposes. See SIMM Section 15. The Technology Agency delegates to the agency the resource approval authority for any IT proposal with an estimated total development cost equal to or less than the agency's assigned cost threshold, provided the proposal does not meet any other Technology Agency established reporting criteria defined in Section 4819.37.

The total development cost is synonymous with one-time cost and is defined as all estimated or projected costs associated with the analysis, design, programming, verification and validation services, staff training, data conversion, acquisition, and implementation of an information technology investment. Excluded from development costs are estimated costs of continued operations and maintenance.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

EXPENDITURES FOR ONGOING INFORMATION TECHNOLOGY ACTIVITIES

4819.40

(Revised 12/12)

Expenditures in support of an ongoing information technology activity will normally not require the Technology Agency approval of a new FSR providing:

The activity meets the definition of previously approved project/effort as defined in SAM Section 4819.2:

Applicable activities include meeting modified needs, improving the effectiveness of the activity, program or system maintenance, or extension of existing services to new or additional users performing essentially the same functions as those that the project was designated to support. A previously approved effort/project must use substantially the same equipment, facilities, technical personnel, supplies and software to meet substantially the same requirements or to meet normal workload increases.

Qualification of an information technology activity as a previously approved effort requires an approved FSR and a completed and submitted PIER in accordance with SAM section 4819.35.

Notes:

1. "Substantially the same equipment" does not include the addition, upgrade or replacement of a Mainframe.
2. Minor changes in functionality and/or equipment will normally meet the definition of previously approved project/effort. Significant changes in functionality and/or equipment that require budget actions do not meet the definition of previously approved project/effort.

Example: The Department of Justice maintains a system to enable the ownership registration of handguns. New legislation requires the addition of rifle registration to the system. This added functionality would not require a new FSR.

Expenditures in support of activities not meeting the above criteria are considered to be new projects, not ongoing information technology activities.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

PROCUREMENT REVIEW AND CERTIFICATION

4819.41

(Revised 12/12)

1. Review of Formal IT Solicitations

Formal IT Solicitations as defined in the State Contracting Manual (SCM), Volume 3, Chapter 4, Section B1.0, must be reviewed by the Technology Agency prior to release to the public. Review of Informal IT Solicitations is delegated to departments. The following materials shall be included with the Formal IT Solicitation package:

- a. A completed and signed *Formal Information Technology Solicitation Executive Approval Transmittal*, which is available in SIMM Section 28A.
- b. All sections, appendices, attachments and exhibits comprising the Formal IT Solicitation.
- c. The Information Technology Procurement Plan prepared in accordance with Volume 3, Chapter 2, Section B3 of the SCM and approved by the DGS.

Review of Formal IT Solicitations is in addition to existing IT-related reporting and approval requirements. The instructions and time frame for submitting Formal IT Solicitations to the Technology Agency for review is specified in SIMM Section 05A.

For addenda focusing on Technical or Functional Requirements within the solicitation that are specific to the California IT Strategic Plan, alignment with the Statewide Enterprise Architecture, or alignment with IT reporting and approval requirements, the Technology Agency will collaborate with the DGS Procurement Division (PD), for DGS-Administered Procurements, and with the issuing department, for delegated procurements, prior to release. All other addenda will only be reviewed by the DGS PD or the issuing department, as appropriate. The time frame for submitting addenda will be determined in collaboration with the Technology Agency and the DGS PD or with the issuing department as appropriate.

Departments shall not be relieved of responsibility for major scope deviations within the Formal IT Solicitations or addenda reviewed by the Technology Agency unless:

- a. The department has specifically informed the Technology Agency-Program Management Office (PMO) in writing of such major deviations at the time of submittal; and
- b. The Technology Agency-OTech has given written approval of the specific deviation.

2. Certification for Information Technology Procurements

A signed certification of compliance with state information technology policies is required for all information technology procurements that cost \$100,000 or more and are in support of a development effort. Development is defined in SAM Section 4819.2 as "Activities or costs associated with the analysis, design, programming, data conversion, acquisition, and implementation of new information technology applications." Procurements of hardware, software, and services (including interagency agreements) are included in this requirement.

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**SAM – INFORMATION TECHNOLOGY
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(Continued)

PROCUREMENT REVIEW AND CERTIFICATION

4819.41 (Cont. 1)

(Revised 12/12)

A certification is not required for:

- a. Procurements for less than \$100,000;
- b. Procurements limited only to maintenance services;
- c. Procurements in support of previously-approved efforts. See SAM Section 4819.40;
- d. Procurement of services to conduct a feasibility study, provided the services are limited to supporting or conducting the feasibility study and/or preparing the feasibility study report (SAM Sections 4927 and 4928);or
- e. Procurements of excluded activities as described in SAM Section 4819.32.

The certification must be completed by the agency that will directly utilize the procured goods or services, and the original signed certification must be included with the transmittal of the procurement package to the procurement agency or authority. For audit and review purposes, a copy of the signed certification must be retained in the procurement file. The required format for the certification is provided in SAM Section 4832.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

BUDGET CHANGE PROPOSALS

4819.42

(Revised 3/11)

Budget Change Proposals (BCP) containing specified information technology (IT) components are reviewed by the Technology Agency staff and an evaluation is provided to the Department of Finance Program Budget Manager responsible for review of the agency's budget.

BCPs which request funding for IT projects must be consistent with the agency's Agency Information Management Strategy (see SAM Sections 4900.1-4900.5) and the IT Capital Plan (see SAM Section 4904). The BCP must be supported by an approved Feasibility Study Report (FSR) (SAM Section 4928), or Special Project Report (SPR) (SAM Sections 4945-4945.2) prior to approval of the funding request. In exceptional circumstances, with Technology Agency approval, the funding request may be supported by an approved FSR Reporting Exemption Request or Project Summary Package.

FSRs and SPRs must be submitted in the format and within the time frames specified in SAM, SIMM, and IT Policy Letters issued by the Technology Agency. BCPs must be submitted in the format and within the timeframes specified in annual budget letters issued by Finance. Incomplete or "placeholder" FSRs or SPRs submitted for consideration with an associated BCP may be returned to the agency without consideration.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

CERTIFICATION OF COMPLIANCE WITH POLICIES

4832

(Revised 03/11)

The SAM Section 4819.41 specifies that signed certifications of compliance with the state's information technology policies must be included with the transmittal of certain procurement packages to the procurement agency or authority. The required format of the certification is provided in SAM Section 4832, Illustration 1.

Signature Authority Certifications for procurements of \$100,000 or more MUST be signed by the agency director or by a member of agency management specifically designated by the director for this purpose.

As shown in 4832 Illustration 1, the certification must reference one of the following with respect to the justification and approval of the proposed procurement:

1. If the procurement is the result of a Technology Agency-approved Feasibility Study Report (FSR), the project is currently under development, and the Post-Implementation Evaluation Report (PIER) has not yet been approved, provide the project number, the title, and approval date of the FSR. If the procurement is the result of an agency-approved FSR, provide the agency project number, the title, and approval date of the FSR.
2. If the procurement is an Interagency agreement to procure services from a consolidated data center in support of multiple projects, it must be certified that: (1) the funding level is appropriate for the nature and scope of the services to be supplied; (2) the services are consistent with approved FSRs and/or PIERs; and (3) project reporting for the various projects is current.

Submission of an FSR to the Technology Agency or to the agency director does not constitute project approval. Approval requires an approval letter from the Technology Agency or, for delegated projects, a document indicating approval by the agency director or the director's designee.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

(Continued)

CERTIFICATION OF COMPLIANCE WITH POLICIES

(Revised 03/11)

4832 (Cont.1)

SAM – Information Technology

4832 Illustration 1

Certification Requirements

CERTIFICATION OF COMPLIANCE WITH POLICIES

PURSUANT TO SAM SECTIONS 4819.41 AND 4832

I hereby certify that I am the agency director or designee; that the matters described herein are in compliance with the criteria and procedures for information technology prescribed in SAM; any acquisitions of new or enhanced information technology capabilities are consistent with project justification approved by the Department of Finance, myself or my designee; and that the foregoing statements are true to the best of my knowledge and belief.

(Date)

Signature and Title
(Indicate director or designee)

JUSTIFICATION AND APPROVAL REFERENCE INFORMATION

_____ Technology Agency approved FSR	_____ Technology Agency Project #	_____ Approval Date
_____ Agency approved FSR	_____ Agency Project #	_____ Approval Date
_____ DMCP	_____ DMCP #	_____ Approval Date

Project Title

_____ **Data Center IAA**

This is an interagency agreement to procure services from a consolidated data center it involves multiple projects, the funding level is appropriate, and the nature and scope of services to be supplied by the data center are consistent with the various approved FSRs and PIERs of this agency, and the required project reporting associated with each active project is current.

SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

INFORMATION TECHNOLOGY ACCESSIBILITY POLICY

4833

(Reviewed 03/11)

It is the policy of the State of California that information and services within California State Government, and provided via electronic and information technology, be accessible to people with disabilities.

State agencies must comply with federal and state laws forbidding discrimination against persons with disabilities, including accessibility of their electronic and information technology. Under existing federal and state laws and policies, state agencies, as well as any contractors working for them, are responsible for ensuring that their agency public Web sites are accessible to both the general public and that their internal agency electronic and information technology systems are accessible by state employees, including persons with disabilities.

California Government Code section 11135 directs that: “state government entities, in developing, procuring, maintaining, or using electronic or information technology, either indirectly or through the use of state funds by other entities, shall comply with the accessibility requirements of Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Sec. 794d), and regulations implementing that act as set forth in Part 1194 of Title 36 of the Code of Federal Regulations.”

Government Code section 11135, in requiring compliance with Section 508, mandates that electronic and information technology (EIT) are accessible to individuals with disabilities, specifically:

- State agencies must develop, procure, maintain, or use electronic and information technology, that employees with disabilities have access to and use of information and data that is comparable to the access and use by employees who are not individuals with disabilities, unless an undue burden would be imposed on the agency.
- Individuals with disabilities, who are members of the public seeking information or services from a state agency, have access to and use of information and data that is comparable to that provided to the public who are not individuals with disabilities, unless an undue burden would be imposed on the agency.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

EXCEPTIONS TO ACCESSIBILITY

4833.1

(Reviewed 03/11)

The following are exceptions which are allowed for compliance with this policy:

1. A state IT project that is for a “national security system” (FAR 39.204(b) and 36 CFR 1194.3(a)).
2. Acquisition of IT for a state project that is “acquired by a contractor incidental to a contract” (FAR 39.204(c) and 36 CFR 1194.3(b)).
3. A state IT project that is “located in spaces frequented only by service personnel for maintenance, repair, or occasional monitoring of equipment (FAR 39.204(d) and 36 CFR 1194.3(f))” in what is called the “back-office” exception.
4. Compliance with this policy would present an “undue burden”. Undue burden is defined as “a significant difficulty or expense,” considering all agency resources available to the program or component for which the product is being procured.
5. No commercial solution is available to meet the requirements for the IT project that provides for accessibility.
6. No solution is available to meet the requirements for the IT project that does not require a fundamental alteration in the nature of the product or its components.

See SIMM Section 25, IT Accessibility Resource Guide, for additional information.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

INFORMATION TECHNOLOGY INFRASTRUCTURE POLICY
(Reviewed 03/11)

4834

Agencies' Information Technology Infrastructures must enable information sharing across traditional barriers, enhance California's ability to deliver effective and timely services, promote interoperability, support departments and agencies in their efforts to improve government functions, and promote migration to enterprise solutions with reduced complexity and support costs.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

CALIFORNIA SOFTWARE MANAGEMENT POLICY

4846

(Reviewed 03/11)

Each agency shall establish and maintain appropriate computer software management practices and ensure that computer software they use and/or have purchased with State funds is legally procured and is used in compliance with licenses, contract terms, and applicable copyright laws. Each agency shall develop and implement policies and procedures to ensure that all staff understand and adhere to proper software management policies.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

SOFTWARE MANAGEMENT PLAN
(Reviewed 03/11)

4846.1

To prevent software piracy and promote good software management practices, each agency must maintain a software management program. Each agency must document this effort through a software management plan. See SIMM Section 120 for guidelines on the development and maintenance of this plan.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

SOFTWARE MANAGEMENT POLICY REPORTING REQUIREMENTS

4846.2

(Revised 03/11)

Beginning January 31, 2004, and ongoing, each agency shall retain internally for three years, by the agency Chief Information Officer, an annual certification along with the summary of updated inventories conducted by the agency as part of its ongoing software management practices. This certification must also identify the individual responsible for ensuring agency compliance with the California Software Management Policy, SAM Section 4846. In support of this certification, each agency must maintain a detailed inventory report that must be made available upon request to the Technology Agency and/or the Department of General Services. See SIMM Sections 80 and 120 for this and any other reporting requirements.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

STATUTORY REFERENCES

4851

(Revised 03/11)

Chapter 834, Statutes of 2006 (SB 834) created the Office of the State Chief Information Officer (OCIO), and its responsibilities were expanded via Chapter 183, Statutes of 2007 (SB 90) as described in Government Code Sections 11545 and 11546.

Chapter 404, Statutes of 2010 (AB 2408), renamed the OCIO the California Technology Agency (Technology Agency) and transferred the responsibilities of the OCIO to the Technology Agency.

SAM – INFORMATION TECHNOLOGY
(California Technology Agency)

TRAINING AND EMPLOYEE DEVELOPMENT

4854

(Revised 03/11)

General Philosophy. The Technology Agency recognizes that training and employee development is primarily a responsibility of line management. The identification of needs, establishment of priorities, and implementation of training clearly reside with the discretion of each agency. These guidelines relate to technical IT training since management training and development and other general training activities are often intermixed with broader departmental goals. The following statements of policy are intended to facilitate these key objectives.

Policy. Employee training and employee development are the responsibility of each agency. Within an agency, line management is responsible for identification of needed skills, development and implementation of a training plan and establishment of priorities.

Training Coordinator. Agencies should appoint a training coordinator to assist line management in inventorying employee skills, assessing training needs and developing a training schedule. This may be a person in the departmental training office or a person in the IT organization.

Additional responsibilities of the training coordinator will be to act as liaison with other departments for the purpose of joint or coordinated training efforts.

Training Plans. The dynamic field of information technology requires continuous upgrading of skill in order to remain abreast of rapidly changing technology. Because of technological changes and evolving personnel needs, it is imperative that agencies have a plan that will ensure that skills required by the department are developed in an orderly fashion. Management should be aware of the extent to which the effectiveness of their programs are dependent upon the technical skills of their staff.

Training Priorities. It is recommended that priority be given to development of those skills necessary in the effective performance of each person's current position. After essential needs are met, career-related training needs may be addressed.

Source of Training. Agencies should assess their training needs and attempt to satisfy their needs through the most cost-beneficial source. Some training alternatives are: on-the-job training; development of in-house training; cooperative training programs with other departments; training programs through the state data centers; departmental group contracts with outside vendors; and attendance of one or more employees at an outside vendor's training class. The Technology Agency encourages close coordination and cooperation between agencies.

Out-Service Training Needs. Agencies should make every effort to identify those skills areas where they anticipate the need to contract for training with outside vendors. These needs should be outlined in their training plans. Inclusion in the preliminary plans will provide an opportunity to determine whether comparable training may be made available through a more cost-effective source or whether these needs might be coordinated with the needs of other departments.